

# **APPENDIX I**

## **STANDARD IT PROJECT GOVERNANCE**



**pennsylvania**

DEPARTMENT OF TRANSPORTATION

# Standard IT Project Governance

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*Prepared by: PennDOT IT PMO*

<b>Date</b>	<b>Version</b>	<b>Description</b>	<b>Author</b>
12/2/08	1.0	Initial version	PMO
12/19/08	1.1	Added Project Contract Manager to governance structure.	PMO
6/5/09	1.1	Added Business Review and Results office	PMO
7/6/09	1.2	Removed references to BRRO activities outside of Execution phase.	PMO
7/29/09	1.3	Changes to reflect Level 1 requirements	PMO
11/3/09	1.4	Update to ensure CIO is signs off on Project Charter. See page 4.	PMO
6/1/11	2.0	Update Versioning	PMO
1/31/13	3.0	Removed Executive Committee	PMO
6/10/16	3.1	Updated for MVDLS RFQ – added reference to EASM	Frank Nestore (Contractor)

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# 1. Document Purpose

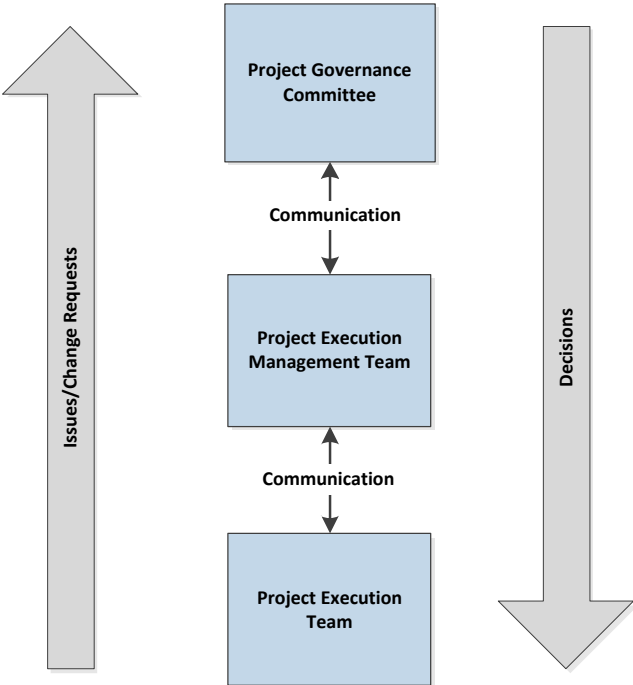
This document defines the Standard Governance Structure for PennDOT’s Information Technology (IT) projects in the Execution phase. **Note:** Variation to this standard governance process is permitted, but it must be justified and approved by OIS Management.

# 2. Standard IT Project Governance Structure Overview

There are three groups that govern IT projects:

- The Project Governance Committee is responsible for providing high level guidance and executive oversight;
- The Project Execution Management Team provides consistent day-to-day management of the project tasks;
- The Project Execution Team carries out the project tasks.

The roles and responsibilities of these distinct groups are further defined in subsequent sections of this document.



# 3. The Project Governance Committee

The role of the Project Governance Committee is an important one - particularly in large and complex projects. An IT project is a significant investment for the Department and it is the responsibility of the Project Governance Committee to ensure that the goals and objectives of the project are met and that resources are applied wisely. The individuals assigned to the Project Governance Committee need to be dedicated to the project and have the authority and knowledge

to make important project decisions. The committee should be small enough to ensure effective decision-making but large enough to ensure the right breadth of knowledge to make these decisions.

### **3.1 Project Governance Committee Roles and Responsibilities**

The roles and responsibilities of the Project Governance Committee include:

- Provide guidance and direction to project leads
- Monitor and review (steer) the project.
- Attend Project Governance Committee meetings.
- Resolve project issues related to budget/scope/schedule/resources in a timely manner.
- Review and approve/reject changes to budget/scope/schedule that come through the formal approval process.
- Review and accept project deliverables (as needed).
- Provide approval for a project to move from one phase to another.
- Consult with colleagues when project decisions require knowledge outside of the Project Governance Committee members' collective expertise.

### **3.2 Project Governance Committee Members**

The standard members of the Project Governance Committee (PGC) for each project are provided below. These role assignments are made at the start of the project and reviewed whenever there is a significant project event (such as the loss of a resource or a significant scope change).

Core Team Members:

- Chair
- IT Representative(s) including Enterprise Architecture and Service Management (EASM) team
- Business Area Representative (s)

### **3.3 Signature Authority**

The Chair, IT Representatives and Business Area Representatives typically have signature authority for project deliverables. Other members will typically not have signature authority for deliverables.

### **3.4 Project Governance Committee Meetings**

The meeting schedule for the PGC meetings will be determined at the start of the project. Project Governance Committee meetings will be focused and concise. Unless there are significant issues, the meetings will last 60 minutes or less.

The purpose of a regular Project Governance Committee meeting is to:

- Review the current status of project as presented by the Project Execution Management Team.
- Address and resolve issues that have been escalated to the Project Governance Committee

- Review project change requests and approve or reject such requests.
- Provide general guidance to project leads.
- Recommend corrective action when needed.
- The Project Governance Committee meeting will not be used for a design session or a detailed discussion of non-priority issues.
- Project Governance Committee meetings will not be the vehicle for sharing project information with stakeholders. Stakeholder management and communication is outside of this structure.

### **3.5 Project Governance Committee Chairperson Responsibilities**

The PennDOT CIO (or person delegated this authority by the CIO) will serve as the chair of the Project Governance Committee. The responsibilities of this position are:

- Provide formal approval for the final project charter.
- Chair regular meetings.
- Convene emergency meetings as needed.
- Provide formal approval of all project deliverables requiring Project Governance Committee approval.

### **3.6 Regular Attendees of Project Governance Committee Meetings**

In addition to the committee members, the following individuals should attend Project Governance Committee Meetings for each project:

Resource	Role
Project Manager	Facilitate meeting; provide status
Business Lead(s)	Provide status
IT Lead(s)	Provide status
Vendor Project Manager	Prepare meeting documents; provide status

## **4. The Project Execution Management Team (PEMT)**

### **4.1 PEMT Roles and Responsibilities**

The role of the PEMT is to:

- Provide the day-to-day leadership for the project to ensure that project deliverables are completed on schedule, on budget and meet the business requirements.
- Provide project status information to the Project Governance Committee.
- Address and resolve day-to-day project issues

- Escalate issues that cannot be resolved by PEMT to the Project Governance Committee with recommendations for resolution.
- Prepare and escalate change requests to the Project Governance Committee.
- Review and accept those project deliverables designated in the Project Charter as requiring PEMT approval.
- Review and recommend for approval those project deliverables designated in the Project Charter as requiring Project Governance Committee approval.

## **4.2 PEMT Members**

The standard members of the PEMT for each project are provided below. These assignments are made at the start of the project and are reviewed whenever there is a significant project event (such as the loss of a resource or a significant scope change).

### **4.2.1 Core Team Members:**

A brief description of the responsibilities for the core team members is provided below. Refer to Appendix A for a detailed description of the standard Roles and Responsibilities for the Project Manager, IT Lead, Business Lead and Vendor Project Manager.

#### **Project Manager**

Responsible for the execution of the project plan and day to day management of the project following the established Project Management Methodology.

#### **Business Lead(s)**

Responsible for ensuring business needs are met and business resources are included appropriately in the project.

This includes ensuring that project issues that require business resource input are resolved quickly and that any deliverables that need to be completed or reviewed by the business resources are completed per the project schedule.

#### **IT Lead(s)**

Responsible for ensuring IT needs are met and IT resources are included appropriately in the project.

This includes ensuring that project issues that require IT resource input are resolved quickly and that any deliverables that need to be completed or reviewed by the IT resources are completed per the project schedule. It also includes ensuring that any issues that relate to Enterprise Information Technology standards are reviewed against PennDOT Enterprise IT Standards.

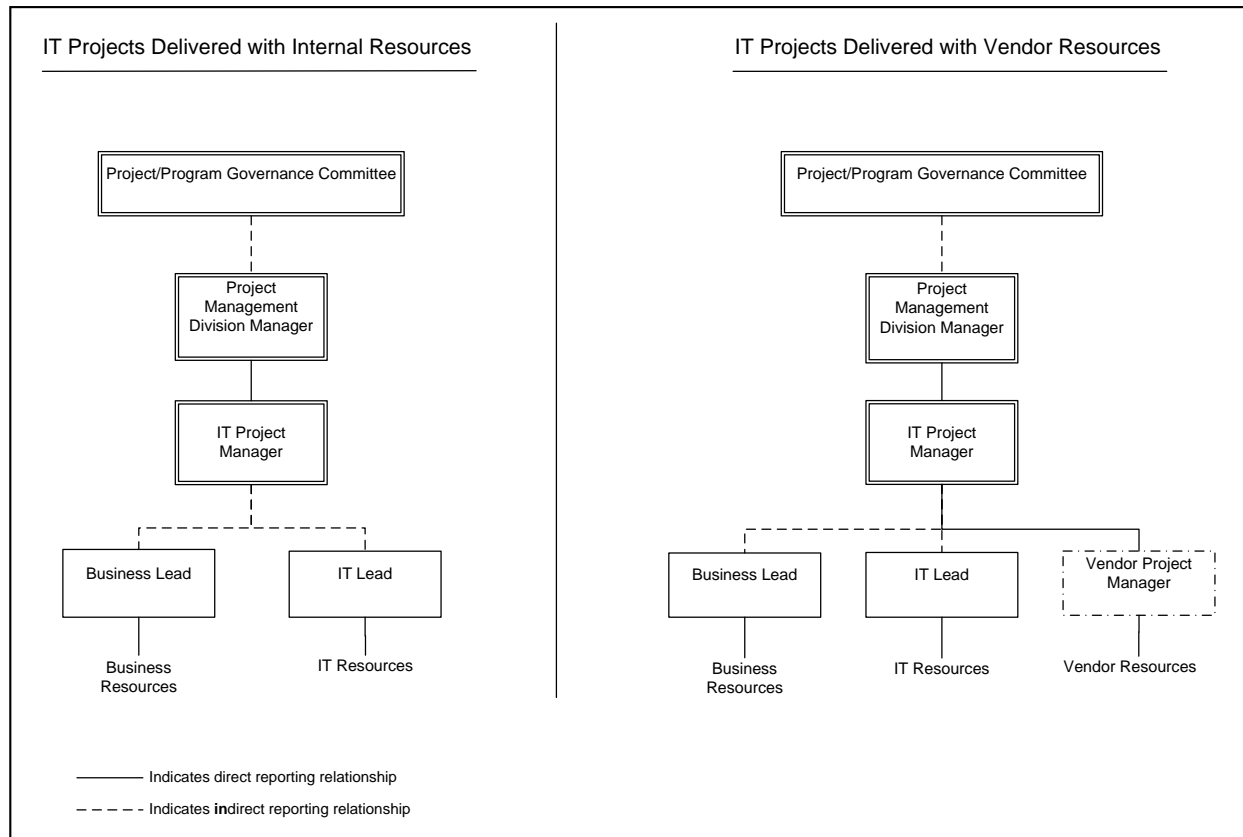
#### **Vendor Project Manager**

Responsible for ensuring that vendor contractual requirements are met and that project tasks assigned to the vendor are completed on time and on budget.

**Note:** Refer to Appendix A for a detailed description of the standard Roles and Responsibilities for the Project Manager, PMO Lead, IT Lead, and Business Lead.



## 4.2.2 Core Team Member Reporting Relationship Structure:



## 4.2.3 Supportive Team Members

Based on the project composition and need, the following team members may be included into PEMT.

### Managed Maintenance Team Lead

If a project has significant tasks to be completed by the Managed Maintenance team, a lead from this team is assigned to the PEMT. This person is responsible for managing the tasks of the Managed Maintenance team and providing regular status updates to the PEMT.

### FHWA Representative

Some IT projects require Federal Highway Administration (FHWA) involvement. At the discretion of the PennDOT IT leadership, an FHWA representative may be assigned to a project.

## 4.3 PEMT Signature Authority

The core team members (PM, IT Lead and Business Lead) typically have signature authority for project deliverables (unless they are not Department employees). Other members will typically not have signature authority for deliverables.

## **4.4 PEMT Meetings**

The Project Execution Management Team will meet on a regular basis (details and meeting logistics will be provided in the project Communication Plan). The purpose of the regular Project Execution Management Team meeting is to:

- Review project status to ensure that project tasks are progressing in accordance with the approved project schedule, budget, and scope.
- Address issues raised by Project Execution Team (PET) members
- Recommend resolution options for issues that cannot be addressed at the PEMT level and escalate those issues and recommendations to the Project Governance Committee.
- Prepare and escalate change requests to the Project Governance Committee.
- Address questions/corrective action received from Project Governance Committee.

# **5. The Project Execution Team**

## **5.1 Project Execution Team Responsibilities**

The Project Execution Team includes IT, business area, and consultant resources. The role of the Project Execution Team is to:

- Complete the project deliverables
- Provide status to the Project Execution Management Team
- Escalate issues and change requests to the Project Execution Management Team

## **5.2 Project Execution Team (PET) Members**

Some typical members of the Project Execution Team for each project are provided below. However, the make-up of this team will vary based on the project needs and may change through the life of the project.

### **5.2.1 *Project Contract Manager***

The responsibilities of this resource are to provide and track all contract and budget related information needed for the execution phase of the project.

### **5.2.2 *Business Analyst***

One or more business analysts may be assigned to a PET for collecting and maintaining requirements. This resource(s) may also participate in the testing phase of the project.

### **5.2.3 *Technical Resource***

One or more technical resources may be assigned to a PET and assigned specific tasks needed to complete the project. Typically the IT lead will provide oversight to these resources.

### **5.2.4 *Technical Lead***

BIO and/or BBSS Management may assign a technical lead for PET technical resources to support the IT Lead in providing oversight to those resources.

### **5.2.5 Subject Matter Expert (SME)**

One or more resources may be assigned to a PET and assigned to tasks that require specific expertise needed to complete the project.

### **5.3 PET Signature Authority**

The PET members do not typically have signature authority for project deliverables.

### **5.4 PET Meeting Attendance**

PET members may be regular or ad hoc attendees at the various project meetings.

## **6. Program Governance**

Projects that are part of an established program and that have a defined Governance Structure (such as the Intelligent Transportation Program) will follow the Governance Structure defined for that program. However, all projects, even those considered part of the program, will have a PEMT and PET defined at the project level. A project-specific PGC may not always be required as the responsibilities of these project teams may be absorbed within the program's governance structure.

## **7. Other Groups/Teams**

Other groups/ teams can be established at any level of the governance structure. For example, (1) the Project Governance Committee could request quarterly Stakeholder meetings to provide project status information to key stakeholders or (2) the Project Execution Management Team could convene a budget management team that meets weekly to review the project budget or (3) the Project Execution Team could create smaller teams such as a database team to address the completion of specific project deliverables.

## **8. Issue Management and Escalation**

The Project Execution Management Team is responsible for the management of risks and issues during project execution.

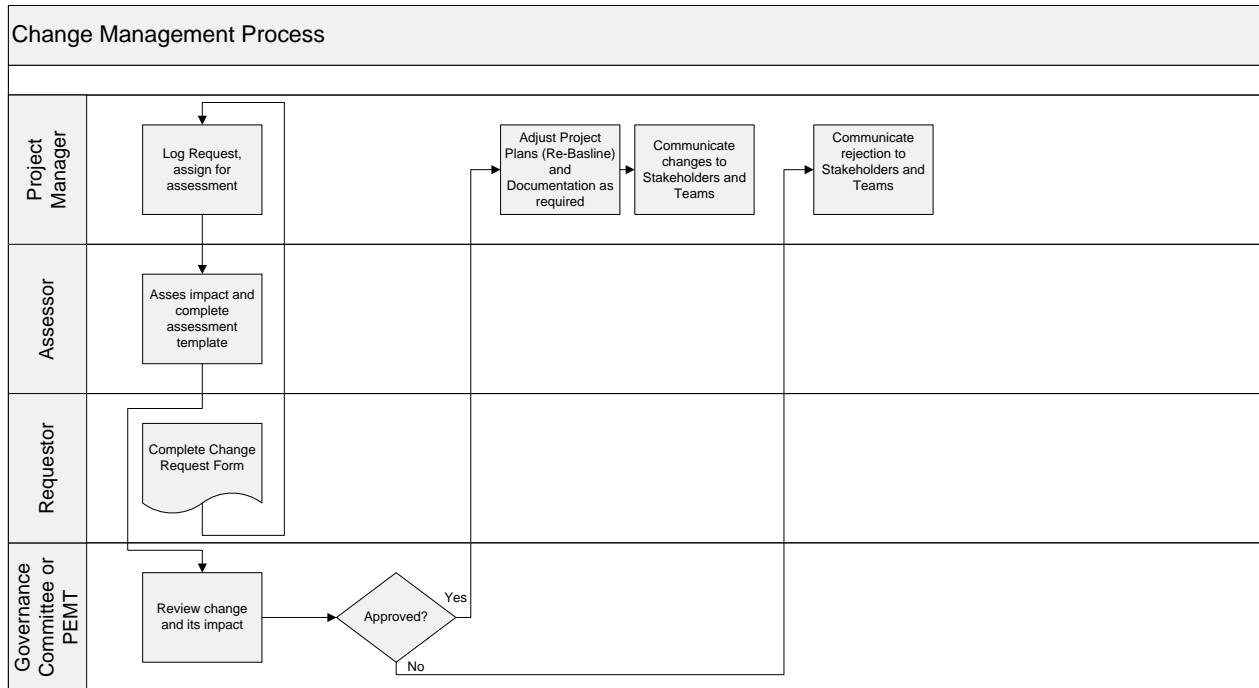
### **8.1 Issue Escalation**

Over their lifecycle, all projects experience issues. Project success is based on the effective resolution of each issue. The following issue escalation procedure shall be followed:

1. All issues must be reported to the project manager as soon as they are discovered.
2. All issues must be documented in the project issues log and reviewed/addressed in a timely manner, as dictated by the severity level.
3. Any issue that cannot be resolved by the Project Execution Team shall be escalated to the Project Execution Management Team. All members of that team should be made aware of the issue at the same time so that they can collectively address and resolve the issue.
4. Any issue that cannot be resolved by the Project Execution Management Team shall be escalated to the Project Governance Committee.
5. .

# Project Change Management

Change control is an organized approach to tracking and monitoring changes in a project. It is supported by a formal process for making changes to the project's original scope that drives the project goals and deliverables. An overview of the standard project change management process is provided below. The Requestor is the person who initiates the change request. The Assessor is the person assigned to determine the overall impact of the change request.



## 9. Appendix A - Project Execution Management Team Role and Responsibility Matrix

	Project Manager	IT Lead (s)	Business Lead	Vendor Project Manager
	Responsible for the execution of the PM methodology and project plan and day to day management of the project.	Responsible for ensuring IT needs are met and IT resources are included appropriately in the project.  This includes ensuring that project issues that require IT resource input are resolved quickly and that any deliverables that need to be completed or reviewed by the IT resources are completed per the project schedule.	Responsible for ensuring business needs are met and business resources are included appropriately in the project.  This includes ensuring that project issues that require business resource input are resolved quickly and that any deliverables that need to be completed or reviewed by the business resources are completed per the project schedule.	Responsible for ensuring that vendor contractual requirements are met and that project tasks assigned to the vendor are completed on time and on budget.
PM and SDLC Methodology	Ensure PennDOT PM Methodology is being applied and comprehensive Governance Plan is created and adhered to. Provide guidance on PM standards and templates.	Ensure PennDOT's IT standards and SDLC are applied. Provide guidance on templates and standards for technical documentation and IT development.		Adhere to PennDOT's PM and development standards / methodology and standards and templates for PM Artifacts and Project Deliverables.
Resource Planning	Assist IT and Business Leads in monitoring IT and Business team member project activities.  Ensure project team roles are assigned and clearly defined.  Ensure all project resources are reflected in the project plan.	Ensure appropriate IT staff is assigned to the project at the appropriate time.	Ensure appropriate business experts are assigned to the project at the appropriate times.	Ensure appropriate consultant resources are assigned to the project at the appropriate times.

	Project Manager	IT Lead (s)	Business Lead	Vendor Project Manager
Project Communication	<p>Develop, maintain and execute the Communication Plan.</p> <p>Create meeting minutes and other project communications as described in the project Communication Plan. Review and provide comment on all project communications.</p> <p>Note: If a vendor PM has responsibility for creating the Communication Plan, the Project Manager is responsible for ensuring it meets PennDOT's needs and is adhered to throughout the project.</p>	<p>Ensure IT resources are included appropriately in the Communication Plan.</p> <p>Create meeting minutes and other project communications as described in the project Communication Plan. Review and provide comment on all project communications.</p>	<p>Ensure Business resources are included appropriately in the Communication Plan.</p> <p>Create meeting minutes and other project communications as described in the project Communication Plan. Review and provide comment on all project communications.</p>	<p>Develop, maintain and execute the Communication Plan.</p> <p>Create meeting minutes and other project communications as described in the project Communication Plan. Review and provide comment on all project communications.</p>
Baseline Project Plan	<p>Owner of the work plan in the PM scheduling tool. Work with the IT Lead, Business Lead and Vendor PM to ensure the project plan is set up and that project tasks are tracked in the PM scheduling tool.</p>	<p>Ensure PennDOT IT resources/tasks are included in the plan and that all IT resources are fully aware of their commitments to the success of the project.</p> <p>Provide plan owner with project team commitment levels and task estimates as needed.</p>	<p>Ensure PennDOT business resources/tasks are included in the plan and that all business resources are fully aware of their commitments to the success of the project.</p> <p>Provide plan owner with project team commitment levels and task estimates as needed.</p>	<p>Ensure all consultant resources/tasks are included in the plan.</p> <p>Provide plan owner with project team commitment levels and task estimates as needed.</p>
Project Plan Maintenance	<p>Maintain project plan. Keep actual hours and task / milestone / deliverable progress current. Provide regular statistics on schedule (SPI or other approved measure of schedule).</p>	<p>Ensure timesheets are entered, reviewed and approved weekly.</p>	<p>Ensure timesheets are entered, reviewed and approved weekly.</p>	<p>Provide Project Manager with regular updates on status of consultant tasks.</p>

	Project Manager	IT Lead (s)	Business Lead	Vendor Project Manager
Change, Risk, Issue and Quality Management Plans	<p>Ensure Project Management plan is completed and that controls are appropriate for the size and complexity of the project.</p> <p>Ensure changes, issues and risks are tracked and assessed regularly. Ensure escalation procedures are working effectively.</p>	<p>Identify issues and risks. Participate in quality reviews as needed.</p> <p>Ensure timely decisions are made on any items requiring input from IT resources.</p>	<p>Identify issues and risks. Participate in quality reviews as needed.</p> <p>Ensure timely decisions are made on any items requiring input from business resources.</p>	<p>Identify issues and risks. Participate in quality reviews as needed.</p>
Project Deliverables	<p>Ensure Deliverable Log is updated regularly and track progress of project deliverables.</p>	<p>Ensure any deliverables that need to be completed or reviewed by the IT resources are completed per the project schedule.</p>	<p>Ensure any deliverables that need to be completed or reviewed by the business resources are completed per the project schedule.</p>	<p>Ensure any deliverables that need to be completed or reviewed by the consultant resources are completed per the project schedule.</p>
Budget Tracking	<p>Track and provide regular statistics on project budget (CPI or other approved measure of cost).</p>			<p>Track budget for consultant resources. Provide Project Manager with regular updates.</p>
AAR	<p>Conduct AAR.</p>	<p>Participate in AAR.</p>	<p>Participate in AAR.</p>	<p>Participate in AAR</p>
Lessons Learned	<p>Summarize and store lessons learned documentation.</p>	<p>Provide lessons learned.</p>	<p>Provide lessons learned.</p>	<p>Provide lessons learned documentation.</p>